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Attorney Docket No. 23908-501  
B.K.  
2/15/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Rina Goldshtein

ASSIGNEE: Solubest Ltd.

SERIAL NUMBER: 09/966,847

FILING DATE: September 28, 2001

FOR: HYDROPHILIC COMPLEXES OF LIPOPHILIC MATERIALS AND AN APPARATUS  
AND METHOD FOR THEIR PRODUCTION



EXAMINER: Not Yet Assigned

ART UNIT: 1623

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JAN 14 2002  
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January 8, 2002  
Boston, Massachusetts

Assistant Commissioner for Patents  
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO  
THE DUTY OF DISCLOSURE UNDER 37 C.F.R. §§1.56, 1.97 and 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

**PART I: Compliance With 37 C.F.R. §1.97**

(Select A, B or C below)

A. ☒ This Information Disclosure Statement has been filed:

(Check 1, 2 and/or 3 below)

1. ☐ within three months of the filing date of the National Application.
2. ☐ within three months of the filing date of the entry of the National Stage, as set forth in 37 C.F.R. §1.491, in an International Application.
3. ☒ before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

B. ☐ This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but

APPLICANTS: Rina Goldshtein  
U.S.S.N.: 09/966,847

before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311.

(Check 1 or 2 below)

1. ☐ The fee of \$180 as set forth in 37 C.F.R. §1.17(p) is enclosed.
2. ☐ The Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that (Check a or b below)
  - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement.  
No fee is required.
  - b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.  
No fee is required.

C. ☐ This Information Disclosure Statement has been filed after the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311 and before payment of an Issue Fee.

1. The Applicants hereby certify, as specified in 37 C.F.R. §1.97(e), that:  
(Check a or b below)
  - a. ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement.
  - b. ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Statement.

APPLICANTS:  
U.S.S.N.:

Rina Goldshtein  
09/966,847

2. A petition requesting consideration of the Information Disclosure Statement is attached.
3. The petition fee of \$130 as set forth in 37 C.F.R. §1.17(i)(1) is enclosed.

PART II: Information Cited

- A. ☒ The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.
- B. ☐ The Applicants hereby make the following additional information of record in the above-identified application:

PART III: Explanation of Non-English Language References  
and Remarks Concerning Other Information Cited

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified).

PART IV: Remarks

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

APPLICANTS:  
U.S.S.N.:

Rina Gosshtein  
09/966,847

By submitting this Information Disclosure Statement, the Applicants make no representation that a search has been performed, of the extent of any search performed, or that anymore relevant information does not exist.

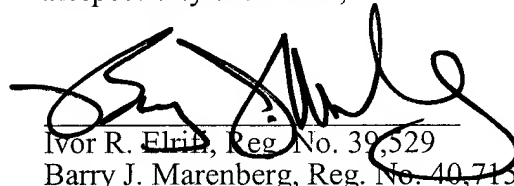
By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

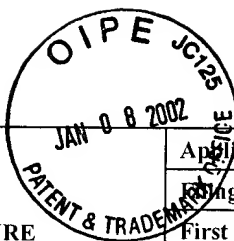


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Dated: January 8, 2002

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Modified Form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Application Number	09/966,847
Filing Date	September 28, 2001
First Named Inventor	Rina Goldshtein
Group Art Unit	1623
Examiner Name	Not Yet Assigned
Attorney Docket Number	23908-501

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**U.S. PATENT DOCUMENTS**

Exam Initials	Cite No.	U.S. Patent Document No.	Issue Date	Name of Patentee(s) or Applicant(s)	Class	Sub Class	Filing Date If Appropriate
	A1	6,221,399 B1	April 24, 2001	Rolfes <i>et al.</i>	424	489	August 16, 1996
	A2	5,589,194	December 31, 1996	Tsuei <i>et al.</i>	424	497	September 20, 1993
	A3	5,629,021	May 13, 1997	D. Craig Wright	424	489	January 31, 1995
	A4	6,225,063 B1	May 1, 2001	Khvorova and Yarus	435	6	May 20, 1999
	A5	5,589,194	December 31, 1996	Tsuei <i>et al.</i>	424	497	September 20, 1993
	A6	5,629,021	May 13, 1997	D. Craig Wright	424	489	January 31, 1995
	A7	5,693,608	December 2, 1997	Bechgaard <i>et al.</i>	514	2	February 28, 1995
	A8	5,734,071	March 31, 1998	Fex and Olsson	554	186	October 19, 1994
	A9	5,760,015	June 2, 1998	Joullie and Weisz	514	58	April 3, 1995
	A10	5,817,332	October 6, 1998	Urtti <i>et al.</i>	424	449	June 20, 1995
	A11	5,854,226	December 29, 1998	Penkler <i>et al.</i>	514	58	December 29, 1998
	A12	6,120,794	September 19, 2000	Liu <i>et al.</i>	424	450	September 26, 1995
	A13	6,143,321	November 7, 2000	Needham and Sarpal	424	450	October 19, 1998
	A14	6,197,757 B1	March 6, 2001	Perrier <i>et al.</i>	514	53	July 9, 1999
	A15	6,207,180 B1	March 27, 2001	Ottoboni <i>et al.</i>	424	426	March 14, 2000
	A16	6,217,886 B1	April 17, 2001	Önyüksel and Rubinstein	424	401	January 27, 1999
	A17	6,224,794 B1	May 1, 2001	Amsden and Liggins	264	4.1	May 5, 1999
	A18	6,228,399 B1	May 8, 2001	Parikh and Selvaraj	424	489	December 22, 1998
	A19	6,221,389 B1	April 24, 2001	Cannell <i>et al.</i>	424	450	June 9, 1998
	A20	6,015,574	January 18, 2000	Cannell <i>et al.</i>	424	450	June 9, 1997

**FOREIGN PATENT DOCUMENTS**

Exam Initials	Cite No.	Foreign Patent Document Office Number	Name of Patentee(s) or Applicant(s)	Date of Publication	Translation Yes No

**OTHER NON PATENT LITERATURE DOCUMENTS**

Exam Initials	Cite No.	Name of Author, Title (when appropriate), Publication, Volume, Page(s), Date, Etc.